

JUL 16 2009 3:37PM

RADER, FISHMAN & GAUER

RECEIVED  
CENTRAL FAX CENTER

NO. 4451 P. 1

JUL 16 2009

## FAX TRANSMISSION

DATE: July 16, 2009


PTO IDENTIFIER: Application Number 10/573,476-Conf. #5401  
Patent Number

Inventor: Shigeru Kashiwagi et al.

MESSAGE TO: US Patent and Trademark Office

FAX NUMBER: (571) 273-8300

FROM: RADER, FISHMAN & GRAUER PLLC

Christopher M. Tobin 

PHONE: (202) 955-3750

Attorney Dkt. #: SON-3114

PAGES (Including Cover Sheet): 14

CONTENTS: Application Data Sheet (4 pages)  
Request for Corrected Filing Receipt (2 pages)  
Certificate of Transmission (1 page)  
Copy of Official Filing Receipt (3 pages)  
Copy of Declaration (3 pages)

If your receipt of this transmission is in error, please notify this firm immediately by collect call to sender at (202) 955-3750 and send the original transmission to us by return mail at the address below.

This transmission is intended for the sole use of the individual and entity to whom it is addressed, and may contain information that is privileged, confidential and exempt from disclosure under applicable law. You are hereby notified that any dissemination, distribution or duplication of this transmission by someone other than the intended addressee or its designated agent is strictly prohibited.

RADER, FISHMAN & GRAUER PLLC  
1233 20th Street, N.W., Suite 601, Washington, DC 20036  
Telephone: (202) 955-3750 Facsimile: (202) 955-3751

JUL 16 2009 3:37PM

RADER, FISHMAN & GAUER

RECEIVED  
CENTRAL FAX CENTER  
JUL 16 2009

NO. 4451 P. 2

PTO/SB/97 (09-04)  
Approved for use through 07/31/2006. OMB 0851-0031  
U. S. Patent and Trademark Office; U. S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Application No. (if known): 10/573,478

Attorney Docket No.: SON-3114

## Certificate of Transmission under 37 CFR 1.8

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office.

on July 16, 2009  
Date



Signature

Christopher M. Tobin

Typed or printed name of person signing Certificate

40,290  
Registration Number, if applicable

(202) 955-3750  
Telephone Number

Note: Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

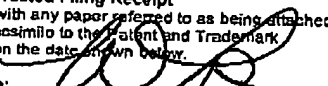
Application Data Sheet (4 pages)  
Request for Corrected Filing Receipt (2 pages)  
Copy Official Filing Receipt (3 pages)  
Copy of Declaration (3 pages)

JUL 16 2009 3:37PM

RADER, FISHMAN & GRAUER

RECEIVED  
CENTRAL FAX CENTER  
JUL 16 2009

NO. 4451 P. 7

**Request for Corrected Filing Receipt**  
I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being transmitted by facsimile to the Patent and Trademark Office, facsimile no. (571) 273-8300, on the date shown below.  
Dated: July 16, 2009 Signature:   
(Christopher M. Tobin)

Docket No.: SON-3114  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Shigeru Kashiwagi et al.

Application No.: 10/573,476

Confirmation No.: 5401

Filed: March 24, 2006

Art Unit: 2164

For: FILE MANAGING APPARATUS, FILE MANAGING  
METHOD, FILE MANAGING METHOD PROGRAM,  
AND RECORDING ...

Examiner: F. Quader

**REQUEST FOR CORRECTED FILING RECEIPT**

Attn: PCT Section  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Madam:

Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested. Also enclosed is a copy of the supplemental application data sheet showing the correct data.

**Error In**

1. Title of the Invention

**Correct data to:**

1. File Managing Apparatus, File Managing Method,  
File Managing Method Program, and Recording  
Medium That Records File Managing Method Program

Applicant believes no fee is due with this request. However, if a fee is due, please charge our Deposit Account No. 18-0013, under Order No. SON-3114 from which the undersigned is authorized to draw.

Dated: July 16, 2009

Respectfully submitted,

By 

Christopher M. Tobin

Registration No.: 40,290

RADER, FISHMAN & GRAUER PLLC

Correspondence Customer Number: 23353

Attorney for Applicant

JUL 16 2009 3:37PM

RADER, FISHMAN & GAUER

JUL 16 2009

NO. 4451 P. 8

Page 1 of 3



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/573,476	03/24/2006	2161	1100	SON3114	9	13	4

23353  
RADER FISHMAN & GRAUER PLLC  
LION BUILDING  
1233 20TH STREET N.W., SUITE 501  
WASHINGTON, DC 20036

CONFIRMATION NO. 5401

FILING RECEIPT

\*\*\*\*\*  
"OC00000020443500"

Date Mailed: 09/15/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Shigeru Kashiwagi, Tokyo, JAPAN;  
Haruo Yoshida, Kanagawa, JAPAN;  
Masaharu Murakami, Tokyo, JAPAN;  
Masayoshi Ohno, Tokyo, JAPAN;  
Hiroshi Jinno, Kanagawa, JAPAN;

Assignment For Published Patent Application

Sony Corporation, Shinagawa-ku, JAPAN

Power of Attorney: The patent practitioners associated with Customer Number 23353.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP04/12234 08/19/2004

Foreign Applications

JAPAN 2003343951 08/19/2004.

If Required, Foreign Filing License Granted: 09/14/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is US10/573,476

Projected Publication Date: 12/21/2006

RECEIVED

Non-Publication Request: No

Early Publication Request: No

Title.

*managing apparatus*  
File management device, file management method, file management program, and  
recording medium the file management method program  
*managing*  
*that records file managing*

Preliminary Class

707

### PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filing of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

---

### LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

#### GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where

the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

JUL 16 2009

**Supplemental Application Data Sheet****Application Information**

Application number:: 10/573,476  
Filing Date:: 03/24/06  
Application Type:: Regular  
Subject Matter:: Utility  
Suggested Group Art Unit:: 2164  
CD-ROM or CD-R?: None  
Sequence submission?: None  
Computer Readable Form (CRF)?: No  
Title::  
FILE MANAGING APPARATUS, FILE  
MANAGING METHOD, FILE MANAGING  
METHOD PROGRAM, AND RECORDING  
MEDIUM THAT RECORDS FILE MANAGING  
METHOD PROGRAM~~FILE MANAGEMENT~~  
~~DEVICE, FILE MANAGEMENT METHOD, FILE~~  
~~MANAGEMENT METHOD PROGRAM, AND~~  
~~RECORDING MEDIUM THE FILE~~  
~~MANAGEMENT METHOD PROGRAM~~  
Attorney Docket Number:: SON-3114  
Request for Early Publication?: No  
Request for Non-Publication?: No  
Small Entity?: No  
Petition included?: No  
Secrecy Order in Parent Appl.?: No

**Applicant Information**

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan

Page # 1

Supplemental 10573476 03/24/06 07/16/09

Status:: Full Capacity  
Given Name:: Shigeru  
Family Name:: Kashiwagi  
City of Residence:: Tokyo  
Country of Residence:: Japan  
Street of mailing address:: c/o Sony Corporation  
7-35, Kitashinagawa 6-chome, Shinagawa-ku  
City of mailing address:: Tokyo  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 141-0001

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity  
Given Name:: Haruo  
Family Name:: Yoshida  
City of Residence:: Kanagawa  
Country of Residence:: Japan  
Street of mailing address:: c/o Sony Corporation  
7-35, Kitashinagawa 6-chome, Shinagawa-ku  
City of mailing address:: Tokyo  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 141-0001

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity  
Given Name:: Masaharu  
Family Name:: Murakami  
City of Residence:: Tokyo



Country of Residence:: Japan  
Street of mailing address:: c/o Sony Corporation  
7-35, Kitashinagawa 6-chome, Shinagawa-ku  
City of mailing address:: Tokyo  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 141-0001

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity  
Given Name:: Masayoshi  
Family Name:: Ohno  
City of Residence:: Tokyo  
Country of Residence:: Japan  
Street of mailing address:: c/o Sony Corporation  
7-35, Kitashinagawa 6-chome, Shinagawa-ku  
City of mailing address:: Tokyo  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 141-0001

Applicant Authority Type:: Inventor  
Primary Citizenship Country:: Japan  
Status:: Full Capacity  
Given Name:: Hiroshi  
Family Name:: Jinno  
City of Residence:: Kanagawa  
Country of Residence:: Japan  
Street of mailing address:: c/o Sony Corporation  
7-35, Kitashinagawa 6-chome, Shinagawa-ku  
City of mailing address:: Tokyo

JUL 16 2009 3:37PM

RADER, FISHMAN&GAUER

JUL 16 2009

NO. 4451 P. 6

Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 141-0001

**Correspondence Information**

Correspondence Customer Number:: 23353

**Representative Information**

Representative Customer Number:: 23353

**Domestic Priority Information**

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	National Stage of	PCT/JP2004/012234	08/19/2004

**Foreign Priority Information**

Country::	Application number::	Filing Date::	Priority Claimed::
Japan	P2003-343951	08/19/2004	Yes

**Assignee Information**

Assignee name:: Sony Corporation  
Street of mailing address:: 1-7-1 Konan  
Minato-Ku  
City of mailing address:: Tokyo  
Country of mailing address:: Japan  
Postal or Zip Code of mailing address:: 108-0075

S04P1403US00

Attorney's Docket No. SON-3114

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION  
English Language Declaration

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled  
FILE MANAGING APPARATUS, FILE MANAGING METHOD, FILE MANAGING METHOD PROGRAM, AND RECORDING MEDIUM THAT RECORDS FILE MANAGING METHOD PROGRAM  
the specification of which

(check one)

is attached hereto.

was filed on \_\_\_\_\_

Application Serial No. \_\_\_\_\_ as  
and was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent of inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)  
P2003-343951 Japan

02/10/2003

Priority Claimed  
X

(Number)

(Country)

(Day/Month/Year Filed)

Yes No

(Number)

(Country)

(Day/Month/Year Filed)

Yes No

(Number)

(Country)

(Day/Month/Year Filed)

Yes No

We hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 and 1.63(d) which became available between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.) \_\_\_\_\_

(Filing Date) \_\_\_\_\_

(Status) \_\_\_\_\_

(patented, pending, abandoned)

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Attorney's Docket Number: SON-3114

## English Language Declaration

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Ronald P. Kananen, Reg. No. 24,104; Ralph T. Rader, Reg. No. 28,772;  
Michael D. Fishman, Reg. No. 31,951, Richard D. Grauer, Reg. No. 22,388;  
Joseph V. Coppola, Sr., Reg. No. 33,373; Michael B. Stewart, Reg. No.  
36,018; Steven L. Nichols, Registration No. 40,326

Send Correspondence to:

Ronald P. Kananen, Esq.  
RADER, FISHMAN & GRAUER  
The Lion Building  
1233 20<sup>th</sup> Street, N.W., Suite 501  
Washington, D.C. 20036

Direct telephone calls to:

Ronald P. Kananen, Esq.  
(202) 955-3750

Full name of first joint inventor	Shigeru KASHIWAGI
Inventor's signature	<i>Shigeru Kashiwagi</i>
Residence	Tokyo, Japan
Citizenship	JAPANESE
Post Office Address	c/o SONY CORPORATION 7-35, KITASHINAGAWA 6-CHOME, SHINAGAWA-KU, TOKYO, JAPAN
Full name of second joint inventor	Haruo YOSHIDA
Second Inventor's signature	<i>Haruo Yoshida</i>
Residence	Kanagawa, Japan
Citizenship	JAPANESE
Post Office Address	c/o SONY CORPORATION 7-35, KITASHINAGAWA 6-CHOME, SHINAGAWA-KU, TOKYO, JAPAN
Full name of third joint inventor	Masaharu MURAKAMI
Third Inventor's signature	<i>Masaharu Murakami</i>
Residence	Tokyo, Japan
Citizenship	JAPANESE
Post Office Address	c/o SONY CORPORATION 7-35, KITASHINAGAWA 6-CHOME, SHINAGAWA-KU, TOKYO, JAPAN

(Supply similar information and signature for subsequent joint inventors.)

Attorney's Docket Number: SON-3114

Full name of fourth joint inventor	Masayoshi OHNO		
Inventor's signature	<i>Masayoshi Ohno</i>	Date	<i>February 1, 2006</i>
Residence	Tokyo, Japan		
Citizenship	JAPANESE		
Post Office Address	c/o SONY CORPORATION 7-35, KITASHINAGAWA 6-CHOME, SHINAGAWA-KU, TOKYO, JAPAN		
Full name of fifth joint inventor	Hiroshi JINNO		
Fifth Inventor's signature	<i>Hiroshi Jinno</i>	Date	<i>February 1, 2006</i>
Residence	Kanagawa, Japan		
Citizenship	JAPANESE		
Post Office Address	c/o SONY CORPORATION 7-35, KITASHINAGAWA 6-CHOME, SHINAGAWA-KU, TOKYO, JAPAN		
Full name of sixth joint inventor			
Sixth Inventor's signature	Date		
Residence			
Citizenship	JAPANESE		
Post Office Address	c/o SONY CORPORATION 7-35, KITASHINAGAWA 6-CHOME, SHINAGAWA-KU, TOKYO, JAPAN		

(Supply similar information and signature for subsequent joint inventors.)